

Rec'd PTO 09 OCT 2002

EV133108966US

10/019596

REV. 9/01
For Other Than A Small Entity

Docket No. VOS-25

Applicant(s) : Plückthun, Andreas, Arndt, Katja,
Müller Kristian and Pelletier, Joelle

Application No. : 10/019,596

Confirmation No.: 8037

Filed : December 26, 2001

For : HETERO-ASSOCIATING COILED-COIL PEPTIDES

Group Art Unit : Not yet assigned

Examiner : Not yet assigned

Hon. Commissioner
for Patents
Washington, D.C. 20231

New York, New York
October 9, 2002

TRANSMITTAL LETTER

Sir:

Transmitted herewith: ☒ a Copy of the
Notification Of Defective Response mailed September 9, 2002;
☒ a Paper Copy of the Sequence Listing; ☒ a Computer
Readable Copy of the Sequence Listing; ☒ a Statement in
Support of Sequence Listing; ☒ a Response to Notification of
Defective Response and Supplemental Preliminary Amendment; to
be filed in the above-identified patent application.

FEE FOR ADDITIONAL CLAIMS

☒ A fee for additional claims is not required.

☐ A fee for additional claims is required.

The additional fee has been calculated as shown below:

CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE	ADDITIONAL FEES
TOTAL CLAIMS	-	* =	X \$ 18 =	\$
INDEPENDENT CLAIMS	-	** =	X \$ 84 =	\$
FIRST PRESENTATION OF A MULTIPLE DEPENDENT CLAIM			+ \$280 =	\$

* If less than 20, insert 20.

TOTAL \$

** If less than 3, insert 3.

[] A check in the amount of \$_____ in payment of the filing fee is transmitted herewith.

[X] The Director is hereby authorized to charge payment of any additional filing fees required under 37 C.F.R. § 1.16, in connection with the paper(s) transmitted herewith, or credit any overpayment of same, to deposit Account No. 06-1075. A duplicate copy of this transmittal letter is transmitted herewith.

[] Please charge \$_____ to Deposit Account No. 06-1075 in payment of the filing fee. A duplicate copy of this transmittal letter is transmitted herewith.

EXTENSION FEE

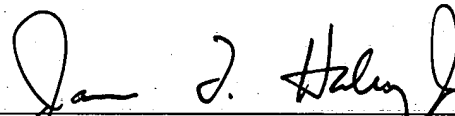
[] The following extension is applicable to the Response filed herewith; [] \$110.00 extension fee for response within first month pursuant to 37 C.F.R. § 1.136(a); [] \$400.00 extension fee for response within second month pursuant to 37 C.F.R. § 1.136(a); [] \$920.00 extension fee for response within third month pursuant to 37 C.F.R. § 1.136(a); [] \$1,440.00 extension fee for response within fourth month pursuant to 37 C.F.R.

§ 1.136(a); \$1,960.00 within fifth month pursuant to
37 C.F.R. § 1.136(a).

☐ A check in the amount of ☐ \$110.00; ☐ \$400.00;
☐ \$920.00; ☐ \$1,440.00; ☐ \$1,960.00 in payment
of the extension fee is transmitted herewith.

☒ The Director is hereby authorized to charge payment
of any additional fees required under 37 C.F.R. §
1.17 in connection with the paper(s) transmitted
herewith, or to credit any overpayment of same, to
Deposit Account No. 06-1075. A duplicate copy of
this transmittal letter is transmitted herewith.

☐ Please charge the ☐ \$110.00; ☐ \$400.00;
☐ \$920.00; ☐ \$1,440.00; ☐ \$1,960.00; extension
fee to Deposit Account No. 06-1075. A duplicate
copy of this transmittal letter is transmitted
herewith.



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EV133108966US

UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT
United States Patent and Trademark Office
Washington, D.C. 20231
www.uspto.gov

U.S. APPLICATION NUMBER NO.

10/019,596

FIRST NAMED APPLICANT

Andreas Pluckthun

ATTY. DOCKET NO.

VOS-25

INTERNATIONAL APPLICATION NO.

PCT/EP00/05922

I.A. FILING DATE

06/26/2000

PRIORITY DATE

06/25/1999

1473

FISH & NEAVE
1251 AVENUE OF THE AMERICAS
50TH FLOOR
NEW YORK, NY 10020-1105**RECEIVED**

SEP 16 2002

FISH & NEAVE - PATENT DEPT.

REFERRED TO

NOTED BY

CONFIRMATION NO. 8037

371 FORMALITIES LETTER



OC000000008748628

Date Mailed: 09/09/2002

NOTIFICATION OF DEFECTIVE RESPONSE

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fee
- Priority Document
- Biochemical Sequence Listing
- Copy of IPE Report
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- Oath or Declaration
- Preliminary Amendments
- Request for Immediate Examination

DOCKETED FOR10/9/02

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

Applicant is required to complete the response within a time limit of **ONE MONTH** from the date of this Notification or within the time remaining in the response set forth in the Notification of Missing Requirements, whichever is the longer. No extension of this time limit may be granted under 37 CFR 1.136, but the period for response set in the Notification of Missing Requirements may be extended under 37 CFR 1.136(a).

The following items **MUST** be furnished within the period set forth below:

- The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821-1.825 for the following reason(s):

- A copy of the "Sequence Listing" in computer readable form has been submitted. The content of the computer readable form, however, does not comply with the requirements of 37 CFR 1.822 and/or 1.832, as indicated on the attached marked-up copy of the "Raw Sequence Listing."
- APPLICANT MUST PROVIDE:

- An initial or substitute paper copy or compact disc of the "Sequence Listing," as well as an amendment directing its entry into the specification.

• For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov
- A copy of the "Sequence Listing" in computer readable form has been submitted. The content of the computer readable form, however, does not comply with the requirements of 37 CFR 1.822 and/or 1.832, as indicated on the attached marked-up copy of the "Raw Sequence Listing."

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

WINSTON M ALVARADO

Telephone: (703) 305-6421

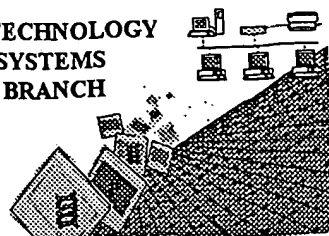
PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/019,596	PCT/EP00/05922	VOS-25



RAW SEQUENCE LISTING ERROR REPORT

BIOTECHNOLOGY
SYSTEMS
BRANCH



The Biotechnology Systems Branch of the Scientific and Technical Information Center (STIC) detected errors when processing the following computer readable form:

Application Serial Number: 10/019,596

Source: 25/10

Date Processed by STIC: 8/14/2002

THE ATTACHED PRINTOUT EXPLAINS DETECTED ERRORS.

PLEASE FORWARD THIS INFORMATION TO THE APPLICANT BY EITHER:

- 1) INCLUDING A COPY OF THIS PRINTOUT IN YOUR NEXT COMMUNICATION TO THE APPLICANT, WITH A NOTICE TO COMPLY or,
- 2) TELEPHONING APPLICANT AND FAXING A COPY OF THIS PRINTOUT, WITH A NOTICE TO COMPLY

FOR CRF SUBMISSION QUESTIONS, PLEASE CONTACT MARK SPENCER, 703-308-4212.

FOR SEQUENCE RULES INTERPRETATION, PLEASE CONTACT ROBERT WAX, 703-308-4216.

PATENTIN 2.1 e-mail help: patin21help@uspto.gov or phone 703-306-4119 (R. Wax)

PATENTIN 3.0 e-mail help: patin3help@uspto.gov or phone 703-306-4119 (R. Wax)

TO REDUCE ERRORED SEQUENCE LISTINGS, PLEASE USE THE **CHECKER** VERSION 3.1 PROGRAM, ACCESSIBLE THROUGH THE U.S. PATENT AND TRADEMARK OFFICE WEBSITE. SEE BELOW FOR ADDRESS:

<http://www.uspto.gov/web/offices/pac/checker>

Applicants submitting genetic sequence information electronically on diskette or CD-Rom should be aware that there is a possibility that the disk/CD-Rom may have been affected by treatment given to all incoming mail.

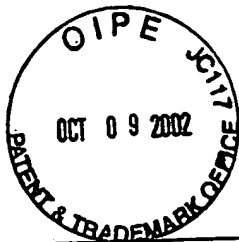
Please consider using alternate methods of submission for the disk/CD-Rom or replacement disk/CD-Rom.

Any reply including a sequence listing in electronic form should NOT be sent to the 20231 zip code address for the United States Patent and Trademark Office, and instead should be sent via the following to the indicated addresses:

1. EFS-Bio (<<http://www.uspto.gov/ebc/efs/downloads/documents.htm>> , EFS Submission User Manual - ePAVE)
2. U.S. Postal Service: U.S. Patent and Trademark Office, Box Sequence, P.O. Box 2327, Arlington, VA 22202
3. Hand Carry directly to:
U.S. Patent and Trademark Office, Technology Center 1600, Reception Area, 7th Floor, Examiner Name, Sequence Information, Crystal Mall One, 1911 South Clark Street, Arlington, VA 22202
Or
U.S. Patent and Trademark Office, Box Sequence, Customer Window, Lobby, Room 1B03, Crystal Plaza Two, 2011 South Clark Place, Arlington, VA 22202
4. Federal Express, United Parcel Service, or other delivery service to: U.S. Patent and Trademark Office, Box Sequence, Room 1B03-Mailroom, Crystal Plaza Two, 2011 South Clark Place, Arlington, VA 22202

Revised 01/29/2002

PLEASE MAIL THIS COPY WITH THE
905 FORM.



Raw Sequence Listing Error Summary

ERROR DETECTED

SUGGESTED CORRECTION

SERIAL NUMBER: 10/019,596

ATTN: NEW RULES CASES: PLEASE DISREGARD ENGLISH "ALPHA" HEADERS, WHICH WERE INSERTED BY PTO SOFTWARE

- 1 Wrapped Nucleics
 Wrapped Aminos
The number/text at the end of each line "wrapped" down to the next line. This may occur if your file was retrieved in a word processor after creating it. Please adjust your right margin to .3; this will prevent "wrapping."
- 2 Invalid Line Length
The rules require that a line not exceed 72 characters in length. This includes white spaces.
- 3 Misaligned Amino
 Numbering
The numbering under each 5th amino acid is misaligned. Do not use tab codes between numbers; use space characters, instead.
- 4 Non-ASCII
The submitted file was not saved in ASCII(DOS) text, as required by the Sequence Rules. Please ensure your subsequent submission is saved in ASCII text.
- 5 Variable Length
Sequence(s) contain n's or Xaa's representing more than one residue. Per Sequence Rules, each n or Xaa can only represent a single residue. Please present the maximum number of each residue having variable length and indicate in the <220>-<223> section that some may be missing.
- 6 PatentIn 2.0
 "bug"
A "bug" in PatentIn version 2.0 has caused the <220>-<223> section to be missing from amino acid sequences(s) . Normally, PatentIn would automatically generate this section from the previously coded nucleic acid sequence. Please manually copy the relevant <220>-<223> section to the subsequent amino acid sequence. This applies to the mandatory <220>-<223> sections for Artificial or Unknown sequences.
- 7 Skipped Sequences
 (OLD RULES)
Sequence(s) missing. If intentional, please insert the following lines for each skipped sequence:
(2) INFORMATION FOR SEQ ID NO:X: (insert SEQ ID NO where "X" is shown)
(i) SEQUENCE CHARACTERISTICS: (Do not insert any subheadings under this heading)
(xi) SEQUENCE DESCRIPTION:SEQ ID NO:X: (insert SEQ ID NO where "X" is shown)
This sequence is intentionally skipped

Please also adjust the "(ii) NUMBER OF SEQUENCES:" response to include the skipped sequences.
- 8 Skipped Sequences
 (NEW RULES)
Sequence(s) missing. If intentional, please insert the following lines for each skipped sequence.
<210> sequence id number
<400> sequence id number
000
- 9 Use of n's or Xaa's
 (NEW RULES)
Use of n's and/or Xaa's have been detected in the Sequence Listing.
Per 1.823 of Sequence Rules, use of <220>-<223> is MANDATORY if n's or Xaa's are present.
In <220> to <223> section, please explain location of n or Xaa; and which residue n or Xaa represents.
- 10 Invalid <213>
 Response
Per 1.823 of Sequence Rules, the only valid <213> responses are: Unknown, Artificial Sequence, or scientific name (Genus/species). <220>-<223> section is required when <213> response is Unknown or is Artificial Sequence
- 11 Use of <220>
Sequence(s) missing the <220> "Feature" and associated numeric identifiers and responses.
Use of <220> to <223> is MANDATORY if <213> "Organism" response is "Artificial Sequence" or "Unknown." Please explain source of genetic material in <220> to <223> section.
(See "Federal Register," 06/01/1998, Vol. 63, No. 104, pp. 29631-32) (Sec. 1.823 of Sequence Rules)
- 12 PatentIn 2.0
 "bug"
Please do not use "Copy to Disk" function of PatentIn version 2.0. This causes a corrupted file, resulting in missing mandatory numeric identifiers and responses (as indicated on raw sequence listing). Instead, please use "File Manager" or any other manual means to copy file to floppy disk.
- 13 Misuse of n
n can only be used to represent a single nucleotide in a nucleic acid sequence. N is not used to represent any value not specifically a nucleotide.



1



PCT10

RAW SEQUENCE LISTING
PATENT APPLICATION: US/10/019,596

DATE: 08/14/2002
TIME: 09:21:24

Input Set : A:\D2398pct_seq list from client_30-10-00.txt
Output Set: N:\CRF3\08142002\J019596.raw

Does Not Comply
Corrected Diskette Needed

3 <110> APPLICANT: University of Zurich
5 <120> TITLE OF INVENTION: Hetero-associating coiled coil peptides
7 <130> FILE REFERENCE: D 2398 PCT
C--> 9 <140> CURRENT APPLICATION NUMBER: US/10/019,596
C--> 10 <141> CURRENT FILING DATE: 2002-07-11
12 <160> NUMBER OF SEQ ID NOS: 36
14 <170> SOFTWARE: PatentIn version 3.0

pp 1-3

ERRORED SEQUENCES

714 <210> SEQ ID NO: 36
715 <211> LENGTH: 37
716 <212> TYPE: PRT
717 <213> ORGANISM: artificial sequence
719 <220> FEATURE:
720 <221> NAME/KEY: PEPTIDE
721 <222> LOCATION: (1)..(37)
722 <223> OTHER INFORMATION: N-acetylated and C-amidated synthetic peptide
725 <400> SEQUENCE: 36
727 Ser Thr Ser Val Asp Glu Leu Gln Ala Glu Val Asp Gln Leu Gln Asp
728 1 5 10 15
730 Glu Asn Tyr Ala Leu Lys Thr Lys Val Ala Gln Leu Arg Lys Lys Val
731 20 25 30
733 Glu Lys Leu Ser Glu
734 35
E--> 739 12

delete

see p. 2 for more errors



2



PCT10

RAW SEQUENCE LISTING
PATENT APPLICATION: US/10/019,596

DATE: 08/21/2002
TIME: 20:20:57

Input Set : A:\PTO.AMC.txt
Output Set: N:\CRF4\08212002\J019596.raw

4 <110> APPLICANT: University of Zurich
6 <120> TITLE OF INVENTION: Hetero-associating coiled coil peptides
8 <130> FILE REFERENCE: D 2398 PCT
C--> 10 <140> CURRENT APPLICATION NUMBER: US/10/019,596
C--> 11 <141> CURRENT FILING DATE: 2002-07-11
13 <160> NUMBER OF SEQ ID NOS: 36
15 <170> SOFTWARE: PatentIn version 3.0
17 <210> SEQ ID NO: 1
18 <211> LENGTH: 32
19 <212> TYPE: PRT
20 <213> ORGANISM: Artificial Sequence
22 <220> FEATURE:
23 <223> OTHER INFORMATION: Description of Artificial Sequence: synthetic
24 construct
26 <220> FEATURE:
27 <223> OTHER INFORMATION: xaa at positions 5, 7, 12, 14, 19, 21, 26 and
28 28=mix of glu, lys, gln, arg
30 <220> FEATURE:
31 <223> OTHER INFORMATION: xaa at position 15=mix of asn, val
33 <220> FEATURE:
34 <221> NAME/KEY: PEPTIDE
35 <222> LOCATION: (1)..(32)
39 <400> SEQUENCE: 1

Does Not Comply
Corrected Diskette Needed

W--> 40 Val Ala Gln Leu Xaa Glu Xaa Val Lys Thr Leu Xaa Ala Xaa Xaa Tyr
41 1 5 10 15
W--> 43 Glu Leu Xaa Ser Xaa Val Gln Arg Leu Xaa Glu Xaa Val Ala Gln Leu
44 20 25 30

49 <210> SEQ ID NO: 2
50 <211> LENGTH: 32
51 <212> TYPE: PRT
52 <213> ORGANISM: Artificial Sequence
54 <220> FEATURE:

55 <221> NAME/KEY: PEPTIDE
56 <222> LOCATION: (1)..(32)
58 <220> FEATURE:

59 <223> OTHER INFORMATION: xaa at positions 5, 7, 12, 14, 19, 21, 26 and
60 28=mix of glu, lys, gln, arg
62 <220> FEATURE:
63 <223> OTHER INFORMATION: xaa at position 15=mix of asn, val
66 <400> SEQUENCE: 2

W--> 67 Val Asp Glu Leu Xaa Ala Xaa Val Asp Gln Leu Xaa Asp Xaa Xaa Tyr
68 1 5 10 15
W--> 70 Ala Leu Xaa Thr Xaa Val Ala Gln Leu Xaa Lys Xaa Val Glu Lys Leu

do you mean

Xaa can be Glu, Lys,
Gln, or
Arg?

see item 11 on
Erra Summary Sheet

Xaa can
only
represent
a single
distinct
amino
acid

RAW SEQUENCE LISTING ERROR SUMMARY
PATENT APPLICATION: US/10/019,596

DATE: 08/21/2002
TIME: 20:20:58

Input Set : A:\PTO.AMC.txt
Output Set: N:\CRF4\08212002\J019596.raw

Please Note:

Use of n and/or Xaa have been detected in the Sequence Listing. Please review the Sequence Listing to ensure that a corresponding explanation is presented in the <220> to <223> fields of each sequence which presents at least one n or Xaa.

Seq#:1; Xaa Pos. 5,7,12,14,15,19,21,26,28

Seq#:2; Xaa Pos. 5,7,12,14,15,19,21,26,28

Seq#:25; N Pos. 17,18,19,23,24,25,38,39,40,44,45,46,47,48,49,59,60,61,65,66

Seq#:25; N Pos. 67,79,80,81,85,86,87

Seq#:26; Xaa Pos. 5,7,12,14,15,19,21,26,28

Seq#:27; N Pos. 17,18,19,23,24,25,38,39,40,44,45,46,47,48,49,59,60,61,65,66

Seq#:27; N Pos. 67,79,80,81,85,86,87

Seq#:28; Xaa Pos. 5,7,12,14,15,19,21,26,28